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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 6734-CON

First Inventor William E. Rodgers

Title CAVESON FOR USE WITH HORSES

Express Mail Label No. EV208230606US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification (Total Pages)
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets)
5. Oath or Declaration (Total Pages)
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Commissioner for Patents
Mail Stop Patent Application
P.O. Box 1450
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)
Prior application information: Examiner Robert P. Swiatek

of prior application No: 10 / 137,596
Group / Art Unit: 3643

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

22922

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Antonia M. Holland

Registration No. (Attorney/Agent)

53,840

Signature

Antonia M. Holland

Date

October 7, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

MW1023312

22928 U.S. PTO
10/680640



16638 U.S. PTO

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 976

Complete if Known

Application Number
Filing Date October 7, 2003
First Named Inventor William E. Rodgers
Examiner Name
Art Unit
Attorney Docket No. 6734-CON

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number 22922

Deposit Account Name

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	2001	770	385	2001	385	Utility filing fee	385
1002	2002	340	170	2002	170	Design filing fee	
1003	2003	530	265	2003	265	Plant filing fee	
1004	2004	770	385	2004	385	Reissue filing fee	
1005	2005	160	80	2005	80	Provisional filing fee	
SUBTOTAL (1)							(\$ 385)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
57	-20 ** = 37	X 9 = 333	
Independent Claims	9	-3 ** = 6	X 43 = 258
Multiple Dependent		X	= 0

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	2202	18	9	2202	9	Claims in excess of 20
1201	2201	86	43	2201	43	Independent claims in excess of 3
1203	2203	290	145	2203	145	Multiple dependent claim, if not paid
1204	2204	86	43	2204	43	** Reissue independent claims over original patent
1205	2205	18	9	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 591)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	2051	130	65	2051	65	Surcharge - late filing fee or oath	
1052	2052	50	25	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	1053	130	130	1053	130	Non-English specification	
1812	1812	2,520	2,520	1812	2,520	For filing a request for reexamination	
1804	1804	920*	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1805	1,840*	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	2251	110	55	2251	55	Extension for reply within first month	
1252	2252	420	210	2252	210	Extension for reply within second month	
1253	2253	950	475	2253	475	Extension for reply within third month	
1254	2254	1,480	740	2254	740	Extension for reply within fourth month	
1255	2255	2,010	1,005	2255	1,005	Extension for reply within fifth month	
1401	2401	330	165	2401	165	Notice of Appeal	
1402	2402	330	165	2402	165	Filing a brief in support of an appeal	
1403	2403	290	145	2403	145	Request for oral hearing	
1451	1451	1,510	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	2452	110	55	2452	55	Petition to revive - unavoidable	
1453	2453	1,330	665	2453	665	Petition to revive - unintentional	
1501	2501	1,330	665	2501	665	Utility issue fee (or reissue)	
1502	2502	480	240	2502	240	Design issue fee	
1503	2503	640	320	2503	320	Plant issue fee	
1460	1460	130	130	1460	130	Petitions to the Commissioner	
1807	1807	50	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	1806	180	180	1806	180	Submission of Information Disclosure Stmt	
8021	8021	40	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	2809	770	385	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	2810	770	385	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	2801	770	385	2801	385	Request for Continued Examination (RCE)	
1802	1802	900	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Name (Print/Type) Antonia M. Holland Registration No. (Attorney/Agent) 53,840 Telephone 414-298-8285
Signature Antonia M. Holland Date October 7, 2003

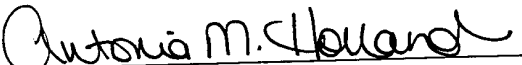
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

CERTIFICATION UNDER 37 CFR 1.10 MAILING

I hereby certify that, on the date shown below, this U.S. Patent Application for "CAVESON FOR USE WITH HORSES" is being deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, MAIL STOP PATENT APPLICATION, P.O. Box 1450, Alexandria, VA 22313-1450 via Express Mail No. EV208230606US on October 7, 2003.


Antonia M. Holland

Date: October 7, 2003

Attorney Docket No. 6734-CON